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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
09/892,281	06/26/2001	Daniel Teijido	064750.0438	2149

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BAKER BOTTS LLP
2001 ROSS AVENUE
6TH FLOOR
DALLAS, TX 75201

EXAMINER

SANDOVAL, KRISTIN D

ART UNIT	PAPER NUMBER
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2132

DATE MAILED: 11/14/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

Office Action Summary

Application No.

09/892,281

Applicant(s)

TEIJIDO ET AL.

Examiner

Kristin D. Sandoval

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-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

Status

- 1) ☒ Responsive to communication(s) filed on 21 August 2006.
- 2a) ☒ This action is **FINAL**. 2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

Disposition of Claims

- 4) ☒ Claim(s) 11 and 13-16 is/are pending in the application.
- 4a) Of the above claim(s) _____ is/are withdrawn from consideration.
- 5) ☐ Claim(s) _____ is/are allowed.
- 6) ☒ Claim(s) 11 and 13-16 is/are rejected.
- 7) ☐ Claim(s) _____ is/are objected to.
- 8) ☐ Claim(s) _____ are subject to restriction and/or election requirement.

Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☒ The drawing(s) filed on 26 June 2001 is/are: a) ☒ accepted or b) ☐ objected to by the Examiner.
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some * c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
 - ☐ Certified copies of the priority documents have been received in Application No. _____.
 - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

* See the attached detailed Office action for a list of the certified copies not received.

Attachment(s)

- | | |
|--|---|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892) | 4) <input type="checkbox"/> Interview Summary (PTO-413)
Paper No(s)/Mail Date. _____ |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)
Paper No(s)/Mail Date _____ | 6) <input type="checkbox"/> Other: _____ |

DETAILED ACTION

1. Claims 11 and 13-16 are pending.

Response to Arguments

2. Applicant's arguments with respect to claims 11 and 13-16 have been considered but are moot in view of the new ground(s) of rejection.

Claim Rejections - 35 USC § 103

The text of those sections of Title 35, U.S. Code not included in this action can be found in a prior Office action.

3. Claims 11 and 13-15 rejected under 35 U.S.C. 103(a) as being unpatentable over Howell et al. (Howell), U.S. Patent No. 5,276,901 in view of The SSL Protocol, Version 3.0 (SSL).

As per claims 11 and 15:

Howell substantially teaches a method comprising:

authenticating a user of the knowledge base (1:32-46, wherein the electronic library is the knowledge base);

determining the clearance level of a requested secure document (6:16-32);

determining a number of document caveats associated with the requested document (4:8-36, 52-64, wherein the object access control type and access list associated with each document represent necessary conditions for access to the document and are thus a number of document caveats);

for each of the number of document caveats, obtaining the respective document caveat for the requested document, the respective document caveat representing a necessary condition for access to the document (fig. 4, 5:66-6:42 wherein the access control type and access lists are obtained);

determining the clearance level of the authenticated user (6:16-32);

determining a number of user caveats of the authenticated user (4:53-64, 5:23-47, wherein having access is contingent upon being on the access list and being in a group that has access which are necessities for access, thus making them user caveats);

for each of the number of user caveats, obtaining the respective user caveat representing a condition necessary for the authenticated user to have access to a document having an associated document caveat (6:6-56);

comparing the clearance level of the requested document with the clearance level of the authenticated user (6:19-23);

for all combinations of the user caveats and the document caveats, comparing the document caveat of the requested document to the user caveat of the authenticated user (fig. 4, 5:66-7:14); and

and displaying the secure document to the authenticated user in response to the clearance level of the user dominating the clearance level of the requested document and the comparison of all combinations of the user caveats to the document caveats (5:66-7:14).

Howell fails to teach authenticating a server by requiring that the server has a valid certificate of authorization. However, SSL discloses a method wherein a server is authenticated through the use of a certificate of authorization (Section 5.5, paragraphs 1-3, Section 5.6.2). It

would have been obvious, at the time of Applicant's invention to utilize SSL for the client-server communications of Howell because SSL would protect the communications from eavesdropping, tampering and forgery (SSL, pg. 1 Abstract).

As per claim 13:

Howell fails to teach a method further comprising encrypting and signing the authenticated user. However, SSL discloses a method wherein the user must have a digital signature (Section 5.5, 2nd paragraph).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to require the user to present a digital signature because this would add an extra layer of security and prevent someone from stealing the actual user's identity.

As per claim 14:

SSL further discloses a method wherein authenticating a user comprises requiring the user to have a valid certificate of authorization (Section 5.5, paragraphs 1-3, Section 5.6.6). It would have been obvious, at the time of Applicant's invention to utilize SSL for the client-server communications of Howell because SSL would protect the communications from eavesdropping, tampering and forgery (SSL, pg. 1 Abstract).

4. Claims 16 rejected under 35 U.S.C. 103(a) as being unpatentable over Howell (5,276,901) in view of SSL as applied to claims 11 and 15 above, and further in view of Erickson, U.S. Patent No. 5,765,152.

As per claim 16:

Howell and SSL fail to teach a method further comprising multiple authentication of a user. However, Erickson discloses a method comprising multiple authentication of a user prior

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to comparing the clearance level of the requested document with the clearance level of the authenticated user (24:4551).

It would have been obvious to one of ordinary skill in the art at the time of applicant's invention to require the user to go through multiple authentication in order to ensure the user's identity and prevent identity theft.

Conclusion

Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Kristin D. Sandoval whose telephone number is 571-272-7958. The examiner can normally be reached on Monday - Friday, 8:00-5:30.

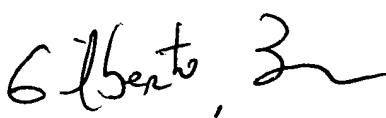
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If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Gilberto Barron can be reached on 571-272-3799. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

Kristin D Sandoval
Examiner
Art Unit 2132

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KDS


GILBERTO BARRON JR
SUPERVISORY PATENT EXAMINER
TECHNOLOGY CENTER 2100